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| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
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| 09/835,064 | 04/13/2001 | Giovanni Giuffrida | HRL065 | 3890 |

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EXAMINER

ABEL JALIL, NEVEEN

| ART UNIT | PAPER NUMBER |
|----------|--------------|
|----------|--------------|

2175

DATE MAILED: 02/13/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/835,064

Applicant(s)

GIUFFRIDA ET AL.

Examiner

Neveen Abel-Jalil

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☐ Responsive to communication(s) filed on ____.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-16 is/are pending in the application.
- 4a) Of the above claim(s) ____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) ____ is/are allowed.
- 6) ☒ Claim(s) 1-16 is/are rejected.
- 7) ☐ Claim(s) ____ is/are objected to.
- 8) ☐ Claim(s) ____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☒ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on ____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on ____ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. ____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121. *DOV POPOVICI*

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 4.

- 4) ☐ Interview Summary (PTO-413) Paper No(s). ____
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other:

SUPERVISORY PATENT EXAMINER
DOV POPOVICI
100

DETAILED ACTION

Specification

1. The abstract of the disclosure is objected to because improper content used: (116), (100), (104), (102), (108), (112), (114), and (116) must be deleted. Correction is required. See MPEP § 608.01(b).

Claim Rejections - 35 USC § 102

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

3. Claims 1-16 are rejected under 35 U.S.C. 102(e) as being anticipated by Mahoney et al. (U.S. Patent No. 5,999,664).

As to claims 1, and 9, Mahoney et al. discloses an apparatus, a method for automatically extracting metadata from electronic documents (See column 8, lines 53-63, also see column 9, lines 1-17) comprising a first processing element (See figure 2, 210, shows “first processing element” represented by “corpus manager”), a second processing element, a reasoning element (See figure 2, 211, shows “reasoning element” represented by “program manager”, 210, shows “second processing element” represented by “Image segmentor and text identifier”), and a database (See column 8, lines 53-63), wherein,

i) said first processing element is further configured to convert electronic documents into files (See column 9, lines 19-31, wherein “first processing element” reads on “corpus manager”);

ii) said first processing element is configured to provide the files to a second processing element (See column 9, lines 46-59, wherein “first processing element” reads on “corpus manager” and wherein “second processing element” reads on “Image segmentor and text identifier”, also see column 10, lines 21-36);

iii) said second processing element is configured to receive said files and extract predetermined information (See column 26, lines 45-64, wherein “second processing element” reads on “Image segmentor and text identifier”, also see column 24, lines 43-67, wherein “predetermined information” reads on “predefined features”);

iv) said second processing element is further configured to provide said extracted predetermined information to said reasoning element (See column 13, lines 61-67, also see column 14, lines 1-20, wherein “predetermined information” reads on “particular genre of documents” and wherein “reasoning element” reads on “program manager”);

v) said database (See column 2, lines 52-58) is configured to also provide input to said reasoning element (See column 14, lines 31-58, wherein “reasoning element” reads on “program manager”);

vi) said reasoning element is configured to use a set of rules to extract metadata from the files (See column 25, lines 20-39, also see column 24, lines 37-58, wherein “reasoning element” reads on “program manager”); and

vii) reasoning element provides an output of metadata (See figure 9, shows “output” represented by “How to display results” and represented by block 938, Redisplay Results).

As to claims 2, and 10, Mahoney et al. discloses an apparatus for automatically extracting metadata from electronic documents, wherein said files are substantially format invariant data files such as Postscript files (See column 35, lines 18-31).

As to claims 3, and 11, Mahoney et al. discloses wherein said predetermined information is substantially spatial layout facts (See abstract, also see column 8, lines 10-30).

As to claims 4, and 12, Mahoney et al. discloses wherein the second processing element and said database simultaneously input to the reasoning element (See column 37, lines 29-65, wherein “processing element” reads on “processor”, and wherein “database” reads on “document corpus”, and wherein “reasoning element” reads on “program interface”).

As to claims 5, and 13, Mahoney et al. discloses wherein said set of rules can be updated (See column 23, lines 12-24, wherein “set of rules” reads on “user specific” and wherein “updated” reads on “redisplay”).

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As to claims 6, and 14, Mahoney et al. discloses wherein said metadata is substantially comprised of title, author, affiliation, author affiliation, and table of contents (See column 22, lines 11-17, and wherein column 2, lines 17-47).

As to claims 7, and 15, Mahoney et al. discloses wherein said metadata is provided to a user interface (See column 7, lines 43-56).

As to claims 8, and 16, Mahoney et al. discloses wherein said metadata is provided to a storage medium (See column 8, lines 53-63, and wherein column 9, lines 19-34, wherein "storage medium" reads on "database").

Conclusion

4. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Angelucci et al. (U.S. Patent No. 6,185,573)

Hearst (U.S. Patent No. 6,223,145).

5. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Neveen Abel-Jalil whose telephone number is 703-305-8114. The examiner can normally be reached on 8:00AM-4:30PM.


If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Dov Popovici can be reached on 703-305-3830. The fax phone numbers for

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the organization where this application or proceeding is assigned are 703-746-7239 for regular communications and 703-746-7240 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703-305-3900.

Neveen Abel-Jalil
January 27, 2003


DOV POPOVICI
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 2100